

EXPRESS MAIL CERTIFICATE

Date 2/21/03 Label No. E294036007-43

I hereby certify that, on the date indicated above, this paper or fee was deposited with the U.S. Postal Service & that it was addressed for delivery to the Assistant Commissioner for Patents, Washington, DC 20231 by "Express Mail Post Office to Addressee" service.

J. Rojas  
Name (Print)

J. Rojas  
Signature

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CREDIT ANY EXCESS IN THE FEES DUE WITH THIS DOCUMENT TO OUR DEPOSIT ACCOUNT NO. 04-0100

Customer No.:



07278

PATENT TRADEMARK OFFICE

Docket No.: 3442/1H674US2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Dirk PETERS; and Eric WEISS

Serial No.: 10/070,344 (National Phase of PCT/US00/330740)

Filed: February 28, 2002

For: AUTOMATED INVESTMENT ADVISORY SOFTWARE AND METHOD

STATUS REQUEST

Hon. Commissioner of  
Patents and Trademarks  
Washington, DC 20231

Sir:

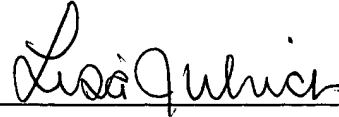
To date, we have received no communication or official action from the  
Examiner in charge of the above-identified patent application. Please let us

know the status of this case.

Dated: February 21, 2003

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Respectfully submitted,

A handwritten signature in cursive script, appearing to read "Lisa Ulrich", is written over a horizontal line.

Lisa Ulrich  
Reg. No. 45,168  
Attorney for Applicants

EEB



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PC1  
 United States Patent and Trademark Office  
 Washington, D.C. 20231  
 www.uspto.gov

|  |                                      |   |
|--|--------------------------------------|---|
| U.S. APPLICATION NUMBER NO.<br>10/070,344      | FIRST NAMED APPLICANT<br>Dirk Peters | ATTY. DOCKET NO.<br>3442/1H674US2               |
| DUE: <u>January 13, 2003</u>                   |                                      | INTERNATIONAL APPLICATION NO.<br>PCT/US00/33740 |
| Docketed on <u>1/19</u> by <u>DP</u> for       |                                      | I.A. FILING DATE<br>12/13/2000                  |
| Docketed without file <input type="checkbox"/> |                                      | PRIORITY DATE<br>12/13/1999                     |
| Attorney _____                                 |                                      | CONFIRMATION NO. 2920                           |

Lisa Ulrich  
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## 371 FORMALITIES LETTER



\*OC000000009095110\*

Date Mailed: 11/13/2002

6-13-03

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Indication of Small Entity Status
- Priority Document
- Copy of Annexes to the IPE
- Copy of IPE Report
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration
- Request for Immediate Examination

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
- \$65 Surcharge for providing the oath or declaration later than the appropriate 30 months months from the priority date (37 CFR 1.492(e)) is required.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$65 for a Small Entity:

- \$65 Late oath or declaration Surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

KAREN R MCLEAN

Telephone: (703) 308-9117

PART 1 - ATTORNEY/APPLICANT COPY

| U.S. APPLICATION NUMBER NO | INTERNATIONAL APPLICATION NO | ATTN REFERENCE NO |
|----------------------------|------------------------------|-------------------|
| 10/070,344                 | PCT/US00/33740               | 3442/1H674US2     |